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MUNICIPAL RECORDS RETENTION AND PRESERVATION

What are the procedures in developing a records retention schedule? What are the factors to be considered in microfilming records and permanent storage of records?

Since the publication of MIS Report No. 114, *Municipal Records Management and Control* in July, 1953, more and more attention has been focused on the field of records management. Many municipalities have established some type of records program, a number of states have enacted pertinent legislation and are aiding local governments in the establishment of retention criteria, and more and more administrators are aware of a growing administrative problem. The awareness of the problem has been brought about by the seeming lack of storage space — too much paper, not enough information, and a recognition on the part of administrators that a well organized, serviceable file is usually the sign of efficient general administration.

As generally used in government, most legal definitions emphasize three salient points:

(1) Records are of various physical types including papers, books (except library materials), maps, still or motion photographic films and prints, and sound recordings; (2) Records are created or received in the course of public business; and (3) Records are filed or preserved as evidence of transactions or for their informational value. An apt description of municipal records was set forth by Richard Ruddell in a discussion of "Recent Developments in Municipal Records" (*The American Archivist*, July, 1955): "Municipal records, like most others, fall into four major categories. First are the records considered necessary in current operations; second, the many retained according to legal statutes or financial practice; third, the highly indeterminate number that are of historical interest and that, because of the highly specialized skills required to analyze their value, are frequently neglected by city officials; and, fourth and greatest in bulk, those records no longer of any conceivable value, which no one has yet had the guts or good sense to destroy."

Each record has a life cycle — it is created, it has current use, and it must be disposed of in an orderly fashion, either through permanent retention or through destruction. Thus, the best results for any organization are achieved if records management is conceived and operated for the total control over all records, from birth to death or permanent preservation.

The basic components of a records management program are: (1) forms management — the design, combination, elimination, and control of the creation of all forms; (2) reports management — the evaluation, development, and improvement of routine reports; (3) correspondence management — the checking of outgoing correspondence for conformance to proper quality standards and the routing, assigned action, and follow-up on incoming correspondence; (4) record keeping — maintaining files for all incoming, outgoing, and internal records having retention value, making possible a fast review and transfer after one year; and (5) records retention — the storage of inactive records according to a written, predetermined schedule by which records are catalogued, indexed, permanently retained and microfilmed, and destroyed. See Figure 1 for a graphic presentation of the disposition of city records as used by Kansas City, Missouri.

Since the storage of records is usually the most acute problem, the obvious first move in the establishment of a unified records management program would be the development of a records retention schedule. Essential to the preservation or disposal of records are standards which provide for the disposal of files or their movement from active office space to low cost storage space at specified intervals, and on an orderly and systematic basis. A study of storage practices leads to

current use of records, and a study of current records leads logically to the creation. If the retention period is decided upon at the time that the form or record is created, and the period noted on the record retention schedule, the permanent retention and/or destruction is automatic, which should be one of the aims of a soundly administered records management program.

The purpose of this report is to supplement MIS Report No. 114 by discussing some of the techniques and steps that may be used in the establishment of a unified records management program. Further information on the establishment of a specific program may be obtained by reference to the nine figures and the bibliography at the end of this report.

A number of MIS Reports have been published which also will help in the establishment of the program: No. 81, *Control of Forms and Records*, October, 1950; No. 114, *Municipal Records Management and Control*, July, 1953; No. 115, *Management of a Municipal Filing System*, August, 1953; No. 117, *Departmental Records and Reporting*, October, 1953; and No. 123, *Municipal Work Simplification*, April, 1954.

Record Retention Schedule

The primary objective of a disposition program is to control the outflow of records from the departments as methodically as their inflow is controlled, thereby systematizing the management of records from their beginning to their end. It is only through a periodic and systematic segregation of the useless materials that the permanently valuable records can be brought under control. The principal advantages of a formal records retention schedule are: (1) assurance that only necessary records for efficient operation of the city are kept; (2) maintenance of an accurate inventory; (3) elimination of record duplication; and (4) a convenient, indexed record system.

The Ordinance. Since a records management program is a vital program to the efficient operation of the municipality, and because of legal implications, one of the first steps in the establishment of the program would be official sanction by the council. This official sanction may take a variety of forms. For example, Alexandria, Virginia, has a brief, permissive ordinance which gives the city manager power to set up a program of retention for reproduction and destruction of records and documents and provides that the approval of the city attorney and the Virginia Historical Records Advisory Commission must be secured before any group of records are destroyed. This permissive ordinance was followed by an administrative regulation that spelled out the specific details of the program.

Miami, Florida, and Norfolk, Virginia, refer to a specific series of records. In California cities, the permissive legislation is contained in the state of California government code which states in part: "Unless otherwise provided by law, with the approval of the legislative body by resolution and the written consent of the city attorney, the head of a city department may destroy any city record under his charge after it is no longer required." The code goes on and excludes certain types of records from this provision. A number of California cities have implemented this code further through the adoption of local ordinances. San Francisco has established a central records center with a superintendent of records.

Although the ordinance will be affected by state provisions concerning the destruction of public records, it should contain basically the following:

1. Definition of terms, especially records.
2. Records control committee — composition, powers, and duties (this committee will be discussed below).
3. Photography, microphotography, photostating, and so on of records.
4. Manner of disposal of records to be destroyed.
5. Unauthorized destruction of public records — definition and penalty.
6. Records retention schedules subsequently adopted to become part of the ordinance.
7. Transfer of copies of vital records for security preservation.

The ordinance itself should be rather broad and considered as a permissive ordinance, so that the implementation of the ordinance will take the form of an administrative regulation by the administrative head. As an example, the ordinance of Kansas City, Missouri, is reproduced as Figure 2.

The Records Control Committee. The working, policy-making body of the records retention program is usually known as the records control committee. This committee is composed of some or all of the following: the finance director, the legal officer, the auditor, the budget officer (in smaller municipalities this may be the assistant to the manager), or their officially designated representatives, and a regular member of each department who shall act as a liaison between the committee and his department. It is the primary function of this committee to apply standards for the evaluation of records for retention, transfer, and disposal. As outlined in the ordinance, the Kansas City records control committee is to make regulations for the care, custody, preservation, classification, photocopying, or other reduction on film and permanent retention or destruction of records as it may deem necessary to accomplish the aims of the program.

In addition to the committee, where state historical organizations already exist, they can be relied upon for substantial assistance. Libraries, both public and in educational institutions, often can provide help.

Procedures. The starting point for the program is a thorough records inventory — that is, the actual physical counting and review of all the municipality's records. This analysis has two purposes: to identify the records of enduring or permanent value that the municipality should undertake to preserve indefinitely, and to identify the records that are disposable now or later. This applies to printed and duplicated forms, standardized and recurring reports (such as monthly and annual financial and activity reports), and correspondence, memos, reports, and similar non-form records which comprise the "subject files."

The inventory of the records may be undertaken by the committee's departmental liaison. However, in those cities that do not have the staff available for the time required for this survey, or that do not have personnel with a suitable background for the survey, the best method of securing results with maximum speed is to employ an organization experienced in such installations. The National Records Management Council, 50 East 42 Street, New York, and Records Controls, Inc., 209 South La Salle Street, Chicago, are organizations specializing in this field. Other well-qualified organizations for this work are Globe-Wernicke Company, Remington Rand, Inc., and Shaw Walker Company. The latter three companies have offices in principal cities.

While employment of a consultant may cost more initially, the superior results more than compensate for the extra cost. Full advantage should be taken of the opportunity to have city personnel trained by the consultant for records management responsibilities. Although a consultant may be used for the initial installation of the program, it is not to be considered to be a one-shot affair. The approach of the committee should be that of establishing a continuing program, since the other basic components of a unified records management program are yet to be established, and the program itself requires constant surveillance.

To analyze the records of a department, the records control committee will need information on the organization and activities of the individual department and a complete catalogue of the records materials used by the department. On the form for the cataloguing of the records should be the following information: (1) the department that filed or originally kept the series of records; (2) the location and present custody of the records; (3) the identification of the series (whether by form number, subject file of correspondence, and so forth); (4) the beginning and ending dates of the series; (5) the internal arrangement of the files; (6) the existence in the department of other files that contain the same information; (7) the existence in the department of other copies of the same papers; (8) the size and kind of containers; (9) the quantity of records in the series and the annual rate of accumulation; (10) the kind and frequency of use; and (11) the opinion of the person or persons in charge of the records as to their value and the periods they will need to be retained.

The inspection of the records and files maintained by the departments will indicate that these records can be broadly classified as follows: (1) those which are based on general forms or procedures used by all departments, and (2) those which are used exclusively by and are pertinent to one department only. Most of the forms fall into the former category, especially in finance and personnel, and must be analyzed as record and non-record copies. These city-wide forms should be appraised before any other forms so that disposal schedules may be applied to all non-record copies in the various departments.

With this information available, the records control committee is now ready to apply standards for evaluation. The National Records Management Council uses five standards for the evaluation of records for retention, transfer, and disposal for which they use the code name "VALVE": Value—operating and historical; Activity—rate of reference; Law—federal and state statutes; Volume—cost versus value; Experience—comparable company practices.

The National Archives suggests four standards for evaluation: (1) values for administrative, legal, and fiscal uses by the agency; (2) values for the protection of the civic, legal, property, and other rights of citizens; (3) values for purposes of functional documentation of agency organization, functions, policies, decisions, procedures, operations, or other activities; and (4) values for research purposes. Federal and state legal requirements for retention are absolute and cannot be modified by local action. Laws may require certain retention periods for some specific records, while general statutes of limitation may be applicable to other records.

As the records control committee analyzes the survey report, it will find a number of series of records that are beyond their retention period, but may have some historical value. For assistance in this regard, the committee can contact the state historical or archival organization for guidance. (A list of the agencies responsible for the archives in the various states is included as Figure 3 of this report). It is also quite possible that the local library may have personnel who would have some experience in archives.

In order to protect public records, some states have established definite programs for the guidance of local units of government. For example, the state of New Jersey, through the department of education, has placed into effect the destruction of public records act. This was accomplished through the publication of the Rules and Regulations of the State Records Committee. The manual contains basic definitions, procedures for the development of retention schedules by the local units, and reproductions of the forms required for approval of retention and destruction schedules, with specific instructions for the completion of each form. The committee also published a retention schedule for forms common to most New Jersey municipalities.

Michigan also has adopted a form for use by state, county, and municipal agencies which is titled "Certified Retention and Disposal Schedule." The form contains the certification: "The records scheduled for destruction as they reach the age specified herein are certified to be no longer required for the effective operation of the agency; to have no further administrative, legal, or fiscal value to the agency; and are no longer required to protect the rights of the individual or the public." This form is submitted to the Michigan Historical Commission and the state administrative board for approval.

New York state, through the division of archives and history of the state department of education, has evaluated and assigned retention periods to nearly 2,000 kinds of records for local units. Greensboro, North Carolina, has placed into operation an unofficial program that was prepared under the guidance of the state archivist visiting the city and consulting with individual department heads.

The Schedule. After the records control committee has analyzed the records survey reports, they begin the most important phase of their work—preparing a written plan for the disposition of each department's records. On this written plan should be the following information: (1) an identification of the series of records for each department that should be preserved and a schedule for their planned retirement and (2) an identification of the series of records of each department that are disposable and a schedule for their periodic disposal.

Examples of the forms used by Norfolk and Kansas City are reproduced as Figures 4 and 5. The Kansas City schedule identifies the series of records and also lists the location of each copy of the record, with adequate instructions for disposal. The Norfolk schedule contains a few additional columns showing the years and volume of accumulation. It is evident that this schedule was developed from the initial survey, but as the schedule is revised, the same columns could be used to determine the rate of accumulation. Both forms provide information for microfilming.

Microphotographic Preservation

Most cities microfilm records for either or both of two purposes: disposal of bulk records and preservation of permanent records.

Disposal microfilming is usually undertaken only when the cost of retaining a group of records for their established retention period would exceed the initial cost of microfilming and the cost of the special equipment required to utilize the records in microfilm form. Generally, it is uneconomical to film records which may be destroyed or retired to a records center in 10 years or less.

Preservation microfilming is usually undertaken only for records of established permanent value when they are found to be deteriorating, fading, or becoming brittle to the extent of endangering their record value. Microfilm approved by the National Bureau of Standards has been tested to last for 500 years if kept under proper conditions of temperature and relative humidity.

Legal uses requiring submission of records as evidence affect many decisions as to microfilming and its methods. Most states and the federal government have statutes admitting microphotographed records as evidence in courts if certain standards are met. Generally, courts will admit microfilm copies of records, on the rule of best evidence, provided there are *bona fide* reasons why the originals are not available. In order to comply with state and federal statutes concerning the microfilming of records, Kansas City, Missouri, uses three forms.

The first is the microfilm certificate, composed of the request for microfilming, the approval by the records control committee, the mayoral authority to dispose of the original records, and the witnessing of the disposition of the records. This complies with the requirement that the reason for destroying the original, if it is to be destroyed, is free from suspicion of fraud. This form is made a part of the microfilm reel (see Figure 6). The second form is the certificate of authenticity, filled out by the camera operator, describing the documents on the reel and also made a part of it (see Figure 7). The third form is the destruction certificate, which is used for the destruction or disposal of records without reproduction. This form is composed of the request for destruction, records control committee approval, the city manager's authorization, and the certification of destruction (see Figure 8).

The five basic reasons for utilizing microphotography are to save labor and time in performing repetitive operations; to insure the safety of vital records; to duplicate records in microfilm or paper print form; to save space and equipment in storing records; and to preserve deteriorating records. Microfilming has disadvantages which must be taken into account: the necessity for perfecting the arrangement of files before filming; necessity to overcome photographic difficulties caused by the physical characteristics of the records; inability to conveniently interfile material after filming; and difficulties of using microfilm records for reference.

The above disadvantages are listed, not to discourage the use of microfilm, but to forewarn the prospective user of the inherent problems encountered in many files. Against these disadvantages must be balanced the known economy of space and physical convenience of compact files preserved on microfilm. The more permanent the paper file, the more costly it is to preserve, and for relatively inactive files some inconvenience to the user may be more than offset by savings in maintenance costs. The costs which are to be compared include costs of storing records, cost of space, cost of equipment, and direct and indirect microfilming costs. These figures are available for most areas from the sales representatives of the major microrecording equipment suppliers upon request. Some of these suppliers are: Diebold, Inc., makers of Flo-Film; Recordak, Corp., makers of Recordak; and Remington Rand, Inc., makers of Filmarecord.

In order to place microfilming on a self-supporting basis, Kansas City has established a uniform current rate of \$6.40 per 1,000 images. This charge is intended to recover all of these costs: film, including postage for developing; labor of camera operator and an assistant clerk as necessary to help prepare records, e.g., remove paper clips and staples, etc.; overhead for supervision; equipment depreciation; and other indirect costs. Cincinnati bases its charges on a rate schedule that takes into consideration the rate of reduction and the size of the copy, and flat charges for the preparation of copy, processed film corrections, and the processing of positive film.

Thirty-one cities have reported to the International City Managers' Association that they microfilm all or some of their records: Phoenix, Arizona; Berkeley, Glendale, Long Beach, Oakland, Pasadena, Richmond, San Diego, San Francisco, and Santa Monica, California; Miami and St. Petersburg, Florida; New Orleans, Louisiana; Bay City, Grand Rapids, Jackson, and Kalamazoo, Michigan; Kansas City, Missouri; Cincinnati, Dayton, Hamilton, and Lakewood, Ohio; Philadelphia, Pennsylvania; Columbia, South Carolina; Austin, Lubbock, and San Antonio, Texas; Ogden, Utah; Alexandria and Norfolk, Virginia; and Kenosha, Wisconsin.

These cities were almost unanimous in stating that one of the primary reasons for microfilming records was for the release of storage space, followed closely by safety as another principal factor. Twenty of these cities purchased microfilming equipment and 12 of them contracted for microfilming services either concurrently or prior to the purchase or the renting of the equipment. There was quite a diversity in the groups of records chosen for microfilming, but the two most prevalent were city ordinances and other actions of the council and police records.

Records Preservation

An important function of records management is the protection or preservation of vital records. Every municipality should be prepared for disaster, since disasters do not alter the legal responsibilities of city government but rather multiply the services to be performed and increase the need for performing them promptly and adequately under emergency conditions.

The types of disasters which are likely to strike a community, such as flood, fire, explosion, earthquake, hurricane, and so on, should be determined as far as possible. Local public records contain information relative to public services rendered by units of local government and provide the basic data used by individuals to establish, protect, and preserve their political, civil, and personal rights. Information of this type is essential to civil defense personnel during an emergency and to the officers of local government in reconstructing the affairs and services of local government after an emergency. (See MIS Report No. 132, *Local Disaster Preparedness Planning*, January, 1955).

Since disaster is not in the habit of sending advance warning, a good test for the administrator in determining whether or not his vital records are safeguarded would be to ask himself: If a bomb struck now, if fire raced through this building, or if the community were inundated, where would our valuable records be? How are they protected now? Where is our vital records storage?

There are no absolute guarantees against any type of disaster, but a sound, balanced program using the data now available is an assurance of the continuity of the governmental unit. In general, the investment for records protection is much like an insurance policy on which one hopes never to collect.

In the evaluation of records for preservation, the records could be classified in accordance with the standards set by the National Fire Protection Association for their "after-fire" value. These classes are:

Class I. Vital Records. All records essential for the recreation of the business including those which may be used as a basis for loans or collections, immediately after the fire. Protection required: fire resistant safes or vaults with protection comparable to the maximum fire hazard to which records may be exposed.

Class II. Important Records. The reproduction of which may be obtained, but at considerable expense. Protection required: fire resistant safes, vaults, or certified record containers commensurate with the exposure hazard.

Class III. Useful Records. Loss of which would be inconvenient but which might be readily replaced. Protection required: uninsulated steel filing equipment.

Class IV. Nonessential Records. Material which has outlived its useful life. Protection required: should be destroyed to reduce fire hazard.

The selection of records for preservation is graphically presented in Figure 9 which is

derived from *Protecting Local Public Records Against Bombing Attacks*, published by the division of archives and history of the New York State Department of Education. As may be seen from the conclusion of the figure, the methods of preservation revolve around duplication or the improvement of protection facilities. It is at this point that the cost factors of microfilming, as discussed above, should be re-evaluated. Generally, preservation or emergency storage for records and microfilm should be undertaken with expert advice because of the technical problems involved.

Acknowledgments. Grateful acknowledgment is made to the city officials who completed and returned the questionnaire on microfilming and retention schedules and to the following officials who reviewed a tentative draft of this report and offered many useful suggestions: Clarence H. Elliott, city manager, Kalamazoo, Michigan, and R. F. Agard, director of finance, Kansas City, Missouri.

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Public Records Management. By Philip C. Brooks. Public Administration Service, 1313 East 60 Street, Chicago 37. 1949. 19pp. \$1. (General approach to both state and local records management).

Retention and Preservation of Records with Destruction Schedules. Record Controls, Inc., 209 South La Salle Street, Chicago 4. Fifth edition, 1956. 46pp. \$4. (Although primarily slanted towards business, contains forms, schedules, and some statutory limitations on selected, common records).

Microfilming of Records (Army Regulation 345-218). Department of the Army, Washington 25, D. C. 1955. 41pp. (Contains tables and cost factors to be considered in microfilming).

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A Basic Plan for Record Retention and Destruction. Management Controls Division, Remington Rand, Inc., 315 Fourth Avenue, New York 10. 22pp. (Contains forms and standards for the establishment of a program).

How to Plan a Successful Record Retention and Destruction Program. Diebold, Inc., Canton 2, Ohio. 16pp. (Contains forms, standards, and suggested retention periods for selected records).

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Figure 1

Kansas City, Missouri

DISPOSITION OF CITY RECORDS

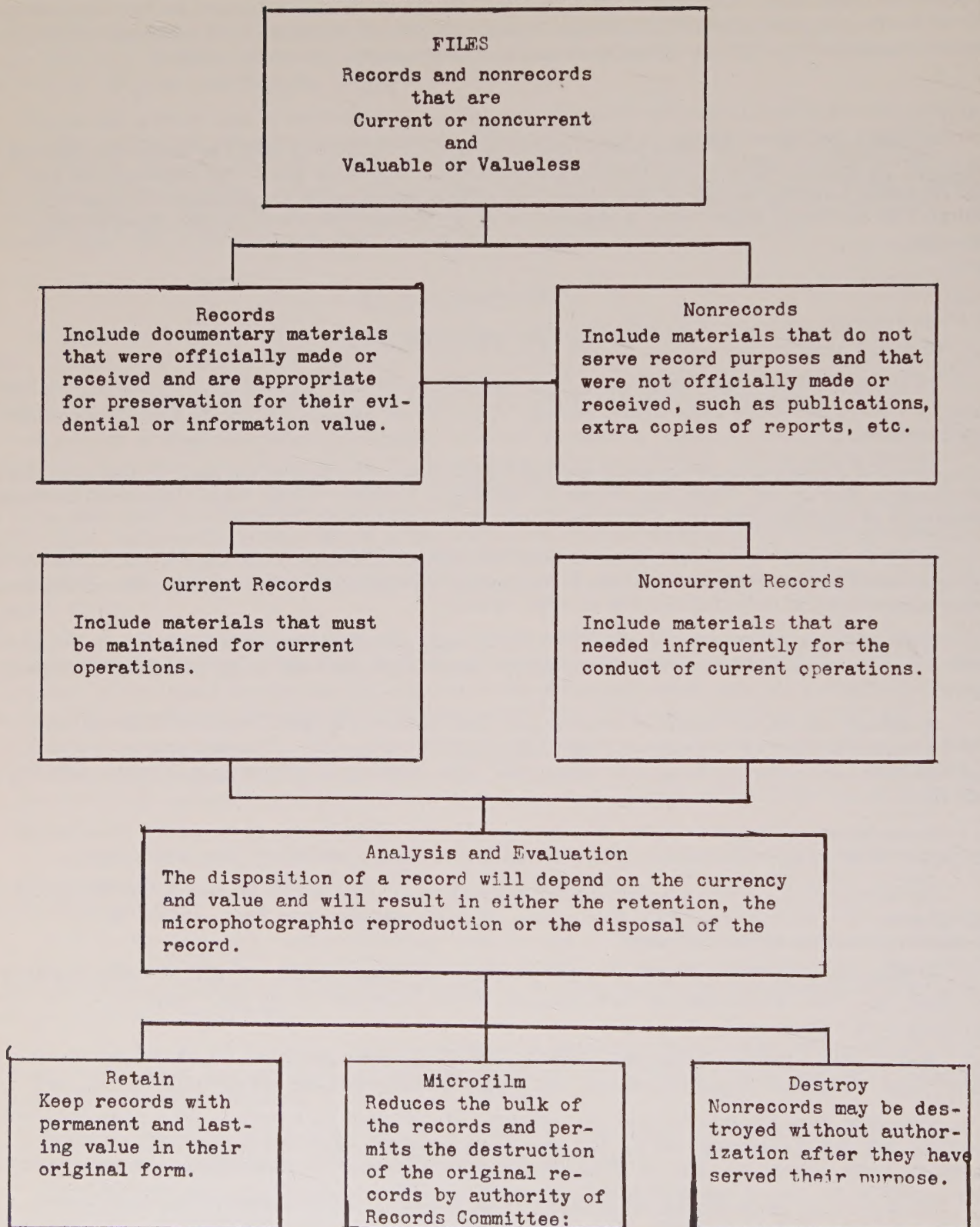


Figure 2
Kansas City, Missouri

AN ORDINANCE

AMENDING THE ADMINISTRATIVE CODE BY ENACTING A NEW ARTICLE TO BE KNOWN AS ARTICLE XXVII, ESTABLISHING A RECORDS CONTROL COMMITTEE AND DEFINING ITS POWERS AND DUTIES; PROVIDING FOR AND REGULATING THE PRESERVATION, REPRODUCTION AND PERMANENT DISPOSAL OR DESTRUCTION OF RECORDS AND THE PRESERVATION AND USE OF PHOTOSTATIC COPIES, PHOTOGRAPHS, MICROPHOTOGRAPHS OR REPRODUCTIONS ON FILMS; MAKING IT A MISDEMEANOR TO DESTROY RECORDS IN VIOLATION OF SAID ORDINANCE AND IMPOSING THE PENALTY THEREFOR, AND CONCERNING RELATED MATTERS.

BE IT ORDAINED BY THE COUNCIL OF KANSAS CITY:

Section A. That the Administrative Code of Kansas City, Missouri, 1946, be and the same is hereby amended by enacting a new article to be known as Article XXVII, establishing the Records Control Committee, containing Sections 232 to 241, inclusive, and to read as follows:

Article XXVII

Section 232. Definition of terms. When used in this article, the term "Committee" shall mean the duly constituted committee provided for in Section 233 hereof; the term "Records" shall include all books, papers, maps, photographs, or other documentary materials regardless of physical form or characteristics, made or received by any agency of the City of Kansas City in pursuance of any law, or in connection with the transaction of the public business, and prepared, preserved, or appropriate as evidence of the organization, functions, policies, decisions, investigations, procedures, operations, or other activities of the municipal government or because of the informational value of data contained therein; the term "Agency" shall include any and all departments, boards, bureaus, committees, and offices being and constituting a part of the city government; the term "Regulations" shall mean the regulations provided for in Section 234.

Section 233. Records Control Committee. A Committee to be known as the Records Control Committee shall consist of the City Auditor or his designee, the Commissioner of Office Services, who shall act as secretary of the Committee, and three additional members, appointed by the City Manager from the following: the City Counselor, Director of Research and Budget, and Director of Finance, or their respective designees. The City Manager shall designate a member of the Committee as Chairman.

The head of each department or office of the City government shall designate a regular employee of that department or office who shall consult, cooperate and act with the committee as it may from time to time request him to do.

Section 234. Regulations. The Committee is hereby granted the power by a majority vote of all the members thereof to make Regulations for the administration of its affairs and for the care, custody, preservation, classification, photographing, microphotographing, photostating, or other reproduction on film and permanent disposal or destruction of Records as it may deem necessary and as are not in conflict with any provision hereof.

Such Regulations and additions and amendments thereto may be made by the Committee from time to time and shall be filed with the City Clerk, and, upon being approved by ordinance of the Council, shall be in effect and constitute a portion of this section. Upon the approval by the Council of new Regulations or amendments which have been so filed with the City Clerk, said Regulations and amendments shall supersede those previously filed and approved.

Upon the adoption by the Committee of such Regulations or amendments thereto, the Chairman of the Committee shall prepare and submit to the City Manager a request for the preparation and introduction before the City Council of an ordinance approving the same.

All such Regulations and all acts and procedures in pursuance of this article shall conform to and comply with the provisions of Sections 109.120, 109.130, and 109.140 of Missouri Revised Statutes of 1949, and such amendments as may be made thereto.

Section 235. Unauthorized destruction of records and papers. No original record of account, voucher, lease, insurance policy, payroll list, time record, tax deed, or other paper, memoranda, purchase order, reservation of funds, or any other instrument, document paper, or record in any agency of the city government as defined in Section 232, shall be destroyed by any official or employee or any other person, except as provided by this Administrative Code or by Regulations duly adopted and approved in the manner required by Section 234 hereof.

Section 236. Photographing, microphotographing, photostating, etc. of records. The Committee may cause any or all of the noncurrent records delivered to it by any agency for preservation or destruction to be photographed, microphotographed, photostated, or reproduced on film. Such film or reproducing material shall be of durable material and the device or devices used to reproduce and perpetuate the original records in all details. The Committee may, by its Regulations, prescribe additional requirements with reference to such film or other material, and the equipment and methods used in photographing, microphotographing, or reproducing such records.

Section 237. Copies as permanent records —disposal, storage, or destruction of originals. Whenever any such photostatic copies, photographs, microphotographs, or reproductions on films shall be placed in conveniently accessible files and provisions made for preserving, examining and using same, they shall for all purposes become permanent records of the city and the Chairman of the Committee and the head of the city office or department from which such records came shall certify the above facts to the Mayor upon a form of certificate prescribed by the Regulations, and the Mayor shall thereupon have the power to authorize in writing the disposal, archival storage, or destruction of the records or papers from which such photographic copies were made. Upon such written authorization by the Mayor, the disposal, archival storage or destruction of such records or papers shall be done in the manner provided by this article and Regulations adopted and approved in compliance with Section 234 hereof.

Section 237.1. Destruction of Permanent Disposal or Obsolete and Useless Records or Duplicate Copies of Records Without Reproduction. The Committee is hereby granted the power, by a majority vote of all members thereof, to destroy or permanently dispose of obsolete and useless records and of identical copies of other records without reproduction, upon compliance with the provisions of this section, and to make such regulations as may be necessary to carry out the provisions of this section. Such regulations shall be in effect when made, filed, and approved in the manner prescribed in Section 234 of this Article.

All requests to destroy or dispose of such records without reproduction shall be made by the head of the department whose records are referred to, and shall be in accordance with such Regulations as are duly adopted and approved and shall be made in the first instance to the Committee. The committee shall review the records or papers concerned and if it finds that the records or papers are of no further public or historical use or value and finds no other reason requiring their preservation, it shall approve the request. If the request is approved, the Chairman of the Committee and its Secretary shall certify the above facts to the City Manager and the City Manager shall thereupon have the power to authorize in writing the destruction or permanent disposal of such records and copies.

Unless otherwise provided by Regulations, the manner of destruction or permanent disposal of such records and copies shall be as provided in this article with reference to the destruction or disposal of records that have been micro-filmed.

Section 238. Same — Preservation and filing of certificates, etc. Any and all records and papers to be destroyed or disposed of as herein provided shall be so destroyed or disposed of in the presence of the City Auditor or his designee, and the Secretary of the Committee, who shall certify upon a form prescribed by the Regulations the identity, time, place, and manner of destruction of the same. Such certificate, the written authorization by the Mayor for the destruction of such records and papers, and the certificate provided for by the first sentence of Section 237 of this article shall be permanent records of the city and shall be filed with the City Clerk, who shall be the custodian of the same. The City Clerk shall keep an accurate record of such certificates and authorizations in a bound volume or volumes kept for that purpose and appropriately indexed.

Section 239. Committee to keep account of proceedings, etc. The Committee shall keep an accurate account of its proceedings, and of the records turned over to it for preservation and destruction, as well as the Committee's action upon said application.

Section 240. Manner of disposal of records — sale as scrap, etc. All records ordered to be destroyed shall be disposed of in a manner specifically set forth in the Regulations. The Committee may order any record, subject to permanent disposal, to be mutilated and sold as scrap, if in its judgment such action appears proper. All moneys derived from such sale shall be paid to the City Treasurer and deposited in the appropriate fund.

Section 241. Unlawful destruction of records, etc. — misdemeanor — penalty. Any person who shall, in violation of this article, wilfully and unlawfully, conceal, remove, mutilate, obliterate, falsify, destroy, steal or embezzle any Record, shall be deemed guilty of a misdemeanor and shall, upon conviction thereof, be punished by being fined not more than \$500.00 or imprisoned in the Municipal Farm for not more than one year or by both such fine and imprisonment, and shall moreover forfeit his office or position and shall be forever afterwards disqualified from holding any office or employment in the Municipal Government of Kansas City, Missouri.

Figure 3
Principal Statutory Agencies Responsible for
Providing Archival Services to State Government

<u>State</u>	<u>Title of Agency</u>
Alabama	Department of Archives and History
Arizona	Department of Library and Archives
Arkansas	Arkansas History Commission
California	Secretary of State
Colorado	State Historical Society
Connecticut	State Library Committee
Delaware	Public Archives Commission
Florida	State Library Board
Georgia	Secretary of State
Idaho	State Historical Society
Illinois	Secretary of State
Indiana	Library and Historical Board
Iowa	State Libraries— Historical and Archives Department
Kansas	State Historical Society
Kentucky	Kentucky Historical Society
Louisiana	Louisiana State University
Maryland	Department of Legislative Reference, and Hall of Records Commission
Massachusetts	Secretary of State
Michigan	Michigan Historical Commission
Minnesota	Minnesota Historical Society, and State Archives Commission
Mississippi	Department of Archives and History
Missouri	State Historical Society
Montana	Historical Society
Nebraska	Nebraska State Historical Society
Nevada	Nevada State Historical Society
New Hampshire	State Library Commission
New Jersey	State Board of Education
New Mexico	New Mexico Historical Society
New York	University of the State of New York

<u>State</u>	<u>Title of Agency</u>
North Carolina	State Department of Archives and History
North Dakota	State Historical Society
Ohio	Ohio State Historical Society
Oklahoma	State Library, and Archives and Records Commission
Oregon	State Library
Pennsylvania	Pennsylvania Historical and Museum Commission
Rhode Island	Secretary of State
South Carolina	South Carolina Archives Commission
South Dakota	State Historical Society
Tennessee	State Library and Archives Commission, and Tennessee Historical Commission
Texas	Library and Historical Commission
Utah	State Historical Society
Vermont	Public Records Commission
Virginia	The Library Board
Washington	Department of General Administration
West Virginia	State Historian and Archivist
Wisconsin	State Historical Society
Wyoming	Archives and Historical Board

Source: Beach, Dunbar and Will, *The State and Publicly Supported Libraries*. U. S. Department of Health, Education and Welfare (Washington: Government Printing Office, 1956)

Budget No. _____ Schedule No. <u>A</u> Dated <u>Dec. 1, 1954</u> Page <u>3</u> of <u>6</u>		CITY OF NORFOLK RECORDS DISPOSITION SCHEDULE Dept. <u>Finance</u> Div. <u>City Auditor</u>		Approved: _____ Dept. _____ Date _____ Div. _____ Date _____ Ordinance No. _____ Date _____		Initial _____ Date _____ Law _____ Audit _____ City Mgr. _____	
RECORD NO.	RECORD DESCRIPTION	DISPOSITION	MICROFILM CODE	LOCATION	YEARS	VOL	
640-19	CASH RECEIPT SUMMARY - CITY AUDITOR	Retain - 1 year		B. V.	1909-20	2	
640-20	CASH RECEIPTS - OFFICE OF CITY TREASURER	Retain - Perm.		B. V.	1923-49	3	
				O. V.	1950-54	1	
640-21	CASH RECEIPTS - OFFICE OF CITY AUDITOR	Retain - Perm.		B. V.	1915-49	11	
				O. V.	1950-54	2	
640-22	CITY BUDGET ESTIMATES	Retain - 2 years		B. V.	1949-50	5	
				O. V.	1952-54	3	
640-23	CASH BOOK	Retain - Perm.		B. V.	1870-80	2	
640-24	REVENUE REPORTS	Retain - 2 years		B. V.	1948-53	11	
				Office Closet	1954	3	
640-25	SOCIAL SERVICE CHECKS	Retain - 10 years	Micro 1945-54 at close of audit for 1954. Thereafter, micro each year at close of audit.	B. V.	1945-48	32	
				O. V.	1949-54	50	

Figure 5

City of Kansas City, Missouri
1610-029

RECORDS RETENTION SCHEDULE

MF & D - Microfilm
& Destroy
D - Destroy

Prefix No.	Unit	Date		
1271	Finance Department, Division of Purchases and Supplies - Storeroom "A"	July 23, 1956		
Form Number	Title of Form	Location of Each Copy	Retention Period	Disposition
-052	Report of Separation (obsoleted; combined with 1271-054)	1 Personnel 2 Employee 3 Department	5 Years - - - - 2 Years	D - - - D
-053	Report of Leave of Absence	1 Personnel 2 Department 3 Employee	2 Years 2 Years - - - -	D D - - -
-054	Report of Resignation and Separation (combined with 1271-052)	1 Personnel 2 Department 3 Employee	5 Years 2 Years - - - -	D D - - -
-055	Notice of Emergency Relief Appointment	1 Personnel 2 Department 3 Employee	5 Years 2 Years - - - -	D D - - -
-056	Notice to Fingerprint (revised to 1271-065, 4-30-53)	1 Personnel	Life of Personnel File (Part Thereof)	D
-057	Request for Salary Change (Change Notice) (see 1271-048)	1 Accounts 2 Personnel 3 Division	2 Years 2 Years 2 Years	D D D
-058	Request for Budget Adjustment	1 Accounts 2 Department 3 Research and Budget 4 Accounts	2 Years 2 Years Memo Copy	MF & D 5-1-49 et seq D D D
-059	Report of Sick Leave Usage	1 Personnel	2 Years	D
-060	Payroll Requisition (replaced by 1212-112, 8-1-54)	1 Accounts 2 Department 3 Accounts	3 Years 1 Year 1 Year	MF & D 5-1-42 et seq D D
-061	Service Rating Form - Form I	1 Personnel 2 Department	6 Years 2 Years	D D
-062	Service Rating Form - Supervisory Form II	1 Personnel 2 Department	6 Years 2 Years	D D
-063	Service Rating Form - Labor Form III	1 Personnel 2 Department	6 Years 2 Years	D D
-064	Service Rating Form - Fire Fighting Form IV	1 Personnel 2 Department	6 Years 2 Years	D D
-065	Notice to Fingerprint and Loyalty Oath	1 Personnel	Tenure of Employee + 5 Years (Part of Personnel File)	D

Figure 6

1279-021 Rev. 1-56 Prepare in duplicate on typewriter or with black ink. Keep one copy for your files.		CITY OF KANSAS CITY, MISSOURI Division of Office Services Microfilm Section MICROFILM CERTIFICATE	
To — Records Control Committee: Pursuant to the Ordinances of Kansas City, Missouri, you are requested to microfilm the following records:			
SECTION I — REQUEST FOR MICROFILMING			
1. Date	2. Department	3. Division	4. Section
5. Form No.	6. Name of Record		
7. Amount of Material	8. Classification (check one) Vital Useful Important Unimport.		9. Filing Method (check one) Alpha. Numer. Subject Chronol.
			10. Frequency of Reference Frequent Infrequent Seldom, if ever
11. Recommended disposition of original after filming Destroy Retain Retain until		12. Request originated by	13. Approved by
			Dept. Head
14. Remarks — Give a complete description of record — ATTACH SAMPLE			
SECTION II — APPROVAL BY RECORDS CONTROL COMMITTEE			
1. Recommended disposition of original after filming Destroy Retain Retain until		2. Approval by Records Control Committee	
		Date _____ Chairman	
3. Special Instructions			
4. This is to certify that the records of the City of Kansas City, Missouri, described above, have been microfilmed as indicated and that the microphotographs thereof have been placed in convenient accessible files and provisions have been made for preserving, examining, and using them.			
_____ Chairman, Records Control Committee			
SECTION III — AUTHORITY TO DISPOSE OF ORIGINAL RECORDS			
I hereby authorize the disposal of the original records listed above, pursuant to authority granted by Ordinance No. 15822, as follows:			
<input type="checkbox"/> Destroy <input type="checkbox"/> Archival Storage <input type="checkbox"/> Other Disposition			
		Mayor _____	Date _____
SECTION IV — WITNESSES			
1. Date	2. Place	3. Method	4. Records on Microfilm Rolls Numbered:
5. We hereby certify that on the date indicated below we witnessed the disposition of the original records listed above in the place and manner stated.			
Secretary, Records Control Committee _____		Date _____	City Auditor _____ Date _____

Figure 7

1279-025

CITY OF KANSAS CITY, MISSOURI
DIVISION OF OFFICE SERVICES
MICROFILM SECTION

Certificate of Authenticity

Reel No.

This is to certify that the microphotographs appearing on this reel starting with
Describe First Document on Reel

and ending with
Describe Last Document on Reel

are accurate and complete reproductions of the
Describe File

Department	Division	Section
------------	----------	---------

as reproduced by the Microfilm Section of the Division of Office Services.

It is further certified that the microphotographic processes were accomplished in a manner
and on a film which meets the requirements of the National Bureau of Standards.

Date	Camera Operator's Signature
------	---

Figure 8

1279-027

CITY OF KANSAS CITY, MISSOURI
DIVISION OF OFFICE SERVICES
MICROFILM SECTION

D e s t r u c t i o n C e r t i f i c a t e

(For destruction or disposal of records without reproduction)

SECTION I – Request for Destruction

1. Date	2. Department	3. Division
4. Form No.	5. Name of Record	
6. Period Covered: _____ to _____ Inclusive (If filed numerically) Nos. _____ to _____ Inclusive		
7. Description of Record (Specify whether obsolete, duplicate, etc.)		

8. It is requested that the above described records be destroyed or disposed of without reproduction in accordance with Records Control Committee Regulations duly adopted and approved providing such destruction.

Department Head

SECTION II – Records Control Committee Approval

At a meeting of the Records Control Committee on _____, the above described records were reviewed and found to be of no further public or historical use or value. No other reasons being known to prevent their destruction or disposal, the Committee approves this request and specifies they be disposed of in the following manner: _____

Secretary, Records Control Committee

Chairman, Records Control Committee

SECTION III – Manager's Authorization

I hereby authorize the destruction or disposal of the records listed above in the manner specified, without reproduction, in accordance with the authority granted me in Section 237.1 of the Administrative Code.

Date _____ City Manager

SECTION IV – Certificate of Destruction

1. Date	2. Place	3. Method
4. We hereby certify that on the date indicated and at the place and by the method stated we witnessed the disposal of the records listed above.		

Secretary, Records Control Committee

City Auditor

Figure 9

